

City of Carlsbad

Emergency Operations Plan



Basic Plan

June 9, 2003

EMERGENCY OPERATIONS PLAN**BASIC PLAN****TABLE OF CONTENTS**

	Page Number
BASIC PLAN	
I. Purpose	7
II. Authorities and References	7
III. Emergency Management Program	7
IV. Continuity of Government	9
V. Public Awareness and Education	9
VI. Training and Exercise Standards	9
VII. Alerting and Warning	13
VIII. Concept of Operations	13
Chart 1: Level I - Normal	14
Chart 2: Level II – Partial EOC Activation	15
Chart 3: Level III – Full EOC Activation	16
IX. Standardized Emergency Management System	17
X. City of Carlsbad Emergency Operations	24
XI. Functional Responsibilities of Local Government	25
Table 1: City of Carlsbad Functional Responsibilities Matrix	26
XII. City of Carlsbad Functional Responsibilities	27
Chart 4: City of Carlsbad Emergency Organization	30
Table 2: Local Government Functional Responsibilities	31
AUTHORITIES AND REFERENCES	33
HAZARD MITIGATION	37
MUTUAL AID	41
Chart 5: General Flow of Requests and Resources	42
Chart 6: State Mutual Aid and Region Map	43
Chart 7: Mutual Aid Coordinators Flow Chart	44
HAZARD ANALYSIS SUMMARY	49
Hazard Analysis Matrix	51

VOLUME ONE – SECTION ONE

BASIC PLAN

I. PURPOSE

The Basic Plan addresses the City of Carlsbad's planned response to extraordinary emergency situations associated with natural disasters, human events, and technological incidents, including both peacetime and wartime nuclear defense operations. It provides an overview of operational concepts, identifies components of the City's Emergency Management Organization within the Standardized Emergency Management System (SEMS), and describes the overall responsibilities of the federal, state and county entities and the City for protecting life and property and assuring the overall well being of the population.

II. AUTHORITIES AND REFERENCES

Emergency operations will be conducted as outlined under Concept of Operations, and in accordance with the enabling legislation, plans, and agreements listed in Volume One - Authorities and References.

III. EMERGENCY MANAGEMENT PROGRAM

A. Overview of Emergency Management

Emergency management is the preparation for and carrying out of all emergency functions, other than military functions, to minimize injury and to repair damage resulting from disasters caused by fire, flood, storm, earthquake, or other natural causes, or enemy attack, sabotage, or other hostile action, and to provide support for rescue operations for persons and property in distress.

Emergency management includes mitigation against, preparedness for, response to, and recovery from disasters or emergencies.

The City of Carlsbad maintains an ongoing Emergency Management Program, involving a wide range of emergency management activities. Although the City's Emergency Operations Plan (EOP) focuses on the response and recovery phases, the City's Emergency Management Program is actively involved in all four phases of emergency management: preparedness, response, recovery, and mitigation.

B. Phases of Emergency Management**Mitigation**

Mitigation activities are those that eliminate or reduce the probability of a disaster occurrence. Also included are those long-term activities that lessen the undesirable effects of unavoidable hazards. Some examples include establishment of building codes, flood plain management, insurance, public education programs, vulnerability analysis updates, tax incentives or disincentives, zoning and land use management, building use regulations and safety codes, resource allocations and preventive health care.

Preparedness

Preparedness activities are necessary to the extent that mitigation measures have not, or cannot completely, prevent disaster. In the preparedness phase, governments, organizations, and individuals develop plans to save lives and minimize disaster damage. These activities serve to develop the response capabilities needed in the event of an emergency. Examples include preparedness plans, emergency exercises/training, warning systems, emergency communication systems, evacuation plans/training, resource inventories, emergency personnel/contact lists, mutual aid agreements and public education/information. This EOP identifies many of the preparedness efforts of the City of Carlsbad.

Response

Response activities follow the issuance of a pending disaster warning or the occurrence of an actual disaster or emergency. These activities help to reduce casualties and damage, and speed recovery. Response activities include public warning, notification of public authorities, evacuation, rescue, assistance, activation of Emergency Operations Centers (EOC), declarations of disaster, search and rescue, and other similar operations addressed in this plan.

Recovery

Recovery continues until all systems return to normal and includes both short-term and long-term activities. Short-term operations restore critical services to the community, provide for the basic needs of the community and return vital life-support systems to minimum operating standards. The beginning of a long-term recovery period is an opportune time to institute mitigation measures, particularly those related to the recent emergency. Examples of recovery actions would be temporary housing and food programs, restoration of non-vital services, reconstruction of damaged areas, damage insurance, loans and grants, long-term medical care, disaster unemployment insurance, public information, health and safety education, counseling programs and economic impact studies.

C. Emergency Management Program Priorities

In view of the City of Carlsbad's susceptibility and vulnerability to natural disasters, technological incidents, and nuclear defense emergencies, continuing emphasis will be placed on: emergency planning; training of personnel; public awareness and education; and assuring the adequacy and availability of sufficient resources to cope with such emergencies. Emphasis will also be placed on mitigation measures to reduce losses from disasters, including the development and enforcement of appropriate land use, design and construction regulations.

IV. CONTINUITY OF GOVERNMENT

A major disaster or nuclear attack could result in great loss of life and property, the death or injury of key government officials, and/or the partial or complete destruction of established seats of government, and public and private records essential to continued operations of government and industry. To help preserve law and order and to continue/restore local services, it is essential that units of local government continue to function during or following such situations

Government at all levels is responsible for providing continuity of effective leadership, authority and adequate direction of emergency and recovery operations. The California Government Code and the State Constitution provide legal authority for the continuity and preservation of State and local government. Volume One – Management Annex provides complete details on the Continuity of Government in California. A listing of the successors to each member of the City of Carlsbad's governing body and key officials are also included in the discussion on Continuity of Government.

V. PUBLIC AWARENESS AND EDUCATION

The public's response to any emergency is based on an understanding of the nature of the emergency, the potential hazards, the likely response of emergency services, and knowledge of what individuals and groups should do to increase their chances of survival and recovery.

Public awareness and education prior to any emergency are crucial to successful public information efforts during and after the emergency. The pre-disaster awareness and education programs must be viewed as equal in importance to all other preparations for emergencies and receive an adequate level of planning. These programs must be coordinated among local, state and federal officials to ensure their contribution to emergency preparedness and response operations. Emergency Public Information procedures are addressed in Volume One - Management Annex.

VI. TRAINING AND EXERCISE STANDARDS

SEMS regulations contain mandatory training and exercise requirements and recommendations for the field response level and local government level. Carlsbad's Training and Exercise Program identified below meets and exceeds SEMS Regulations. CEMAT will be responsible for implementing the Carlsbad Training and Exercise Program.

A. Training

In addition to the required SEMS training identified below, CEMAT members are committed to maintaining their professional development skills in the area of emergency management. An example of appropriate courses would be the Professional Development Series sponsored by the Federal Emergency Management Agency. The course series includes: Principles of Emergency Management, Emergency Planning, Leadership and Influence, Decision-making and Problem-Solving, Effective Communication, Developing Volunteer Resources, and Exercise Design. Each CEMAT member is assigned liaison responsibilities to the on-going emergency management program. Depending on their individual assignment, each CEMAT member will select applicable training courses. CEMAT will develop and maintain a CEMAT Training Program.

All staff that may be assigned to participate in emergencies in the EOC, a Department Operations Centers (DOC), or at the field response level must maintain minimum training competencies pursuant to SEMS regulations. Additionally, CEMAT will document all related emergency management training provided to emergency response personnel.

FIELD RESPONSE LEVEL

At the field (incident) response level, the use of SEMS is intended to standardize the response to emergencies involving multiple jurisdictions or multiple agencies. SEMS requires emergency response agencies to use the Incident Command System (ICS) as the basic emergency management system. Compliance with this requirement can be incorporating ICS into the daily functions of the emergency response departments, or to maintain expertise in the system through training.

Field SEMS Courses are required for all personnel that may be associated with a field response.

- Introductory SEMS Course
- Field ICS Orientation
- Field ICS Basic
- Field ICS Intermediate (ICS supervisor)
- Field ICS Advanced (ICS commander or command staff)

LOCAL GOVERNMENT LEVEL

EOC and DOC Staff

All local government staff that may participate in emergencies in the EOC or Department Operations Center (DOC) is required to maintain minimum training competencies pursuant to the SEMS approved course of instruction.

Local government SEMS Courses are required for all personnel that will perform a SEMS function in the EOC or DOC.

- Introductory SEMS Course
- EOC Course

Executive

The term executive describes an individual that works in executive management or elected positions but does not regularly fill command or management roles at incidents or in the organization's EOC or DOC.

B. Exercises

An exercise is a single practice activity. Simply defined, it is a rehearsal of a simulated emergency, in which members of various agencies perform the tasks that would be expected of them in a real emergency. Its purpose is to promote emergency preparedness by testing policies and plans and training personnel.

There are two main benefits of an exercise program. The first is individual training: people practice their roles and get better at them. Second, the emergency management system is improved. These benefits arise not just from exercising, but also from evaluating the exercise and acting upon the recommendations. An exercise has value only when it leads to improvement.

There are a number of reasons to perform exercises:

- Test and evaluate plans, policies and procedures
- Reveal planning weaknesses
- Reveal gaps in resources
- Improve inter-agency coordination and communications
- Clarify roles and responsibilities
- Train personnel in roles and responsibilities
- Improve individual performance
- Gain public recognition and support of officials
- Satisfy government requirements

The focus of an exercise should always be on locating and eliminating problems before an actual emergency occurs. Corrective actions are an important part of exercise design, evaluation, and follow-up.

Exercise Types - Following is an overview of five main types of emergency exercises: orientation seminar, drill, tabletop, functional, and full-scale. As a general rule the exercises gradually increase in complexity, realism, and stress. The tabletop, functional and full-scale exercises have an entire chapter devoted to each of them.

Orientation Seminar - As the name suggests, the orientation is an overview or introduction. Usually presented as an informal discussion in a group setting, it is very low-stress. Its purpose is to familiarize participants with roles, plans, procedures, or equipment.

Drill - A drill is a coordinated, supervised activity normally used to test a single specific operation or function in a single agency. Drills are also utilized to provide training with new equipment, to develop new policies or procedures, or to practice and maintain current skills. A drill focuses on one small part of the overall jurisdictional plan. Drills are a routine part of the daily job and agency training in the field or EOC.

Examples

- EOC: Call down procedures
- Public works: locating and placing road barriers under time constraints
- Red Cross: Locating specific types of blood within a time constraint
- Military: activation and mobilization drill
- Airport: Fire Department response to furthest part of run-way within in a certain time

The key phrase is “single emergency function.” There is no attempt to coordinate agencies or fully activate the EOC.

Tabletop Exercise - A tabletop exercise simulates an emergency situation in an informal, stress-free environment. It is designed to elicit constructive discussion as participants examine and resolve problems based on the Emergency Operations Plan and Standard Operating Procedures. There is minimal attempt at simulation, no utilization of equipment or deployment of resources, and no time pressures. Participants are encouraged to take their time in arriving at in-depth decisions. The success of the exercise is largely determined by group participation in the identification of problem areas.

Functional Exercise - A functional exercise is a fully simulated interactive exercise. It tests the capability of a jurisdiction to respond to a simulated emergency testing one or more functions of the jurisdiction's Emergency Operations Plan. It is a coordinated response to an emergency in a time-pressured, realistic simulation. It focuses on policies, procedures, roles and responsibilities of single or multiple emergency functions either before, during, or after any emergency period.

Full-Scale Exercise - A full-scale exercise is as close to a real disaster as possible. It is a field exercise designed to evaluate the operational capability of emergency management systems in a highly stressful environment, which simulates actual response conditions. To accomplish this realism it requires the mobilization and actual movement of emergency personnel, equipment and resources. It differs from a drill in that it coordinates actions of several agencies, tests several emergency functions, and activates the EOC. Realism is achieved through on-scene actions and decisions, simulated “victims,” search and rescue requirements, communication devices, equipment deployment, and actual resource and manpower allocation. Ideally, the full-scale exercise should test and evaluate most functions of the Emergency Operations Plan.

VII. ALERTING AND WARNING

Warning is the process of alerting governmental forces and the general public to the threat of imminent extraordinary danger. Dependent upon the nature of the threat and the population group at risk, warning can originate at any level of government.

Success in saving lives and property is dependent upon timely dissemination of warning and emergency information to persons in threatened areas. Local government is responsible for warning the populace of the jurisdiction. Government officials accomplish this using warning devices located within the community or mounted on official vehicles. The warning devices are normally activated from a point staffed 24 hours a day.

There are various mechanical systems in place, described in Volume Two – Operations Annex – Alerting & Warning Procedures, whereby an alert or warning may originate or be disseminated.

VIII. CONCEPT OF OPERATIONS

While the causes of emergencies vary greatly, the potential effects of emergencies do not. This means that the City of Carlsbad can plan to deal with effects common to several hazards, rather than develop separate plans for each hazard. The critical aspects of planning for the response to emergency situations is to identify what should happen, when, and at whose direction. Next, responsibilities are assigned to appropriate departments and assurances are made that those organizations have procedures in place to effectively accomplish the tasks.

It is the responsibility of government to undertake an ongoing comprehensive approach to emergency management in order to mitigate the effects of hazardous events. Local government has the primary responsibility for preparedness and response activities. When an emergency exceeds the local government's capability to respond, assistance is requested from other local jurisdictions, and State and Federal governments. In any case, the responsibility for and command of the incident remains with the local jurisdiction.

Operations during peacetime and national security emergencies involve a full spectrum of activities from a minor incident, to a major earthquake, to a nuclear detonation. There are a number of similarities in operational concepts for peacetime and nuclear security emergencies. Some emergencies will be preceded by a buildup period that can provide warning to those areas and/or population groups that might be affected. Other emergencies occur with little or no advance warning, thus requiring mobilization and commitment of the jurisdiction's resources immediately prior to or after the onset of the situation. All agencies must be prepared to respond promptly and effectively to any foreseeable emergency, including the provision and utilization of mutual aid.

A. PEACETIME EMERGENCY

In a peacetime emergency, as contrasted with a national security emergency, governmental response is an extraordinary extension of responsibility and activity, coupled with normal day-to-day activity. To ensure continued overall effectiveness, normal government structures will be maintained, with emergency operations being limited to those agencies assigned specific emergency functions. More importantly, a system, or systems, must come into being for the purpose of exercising overall operational control (management) or coordination of emergency operations.

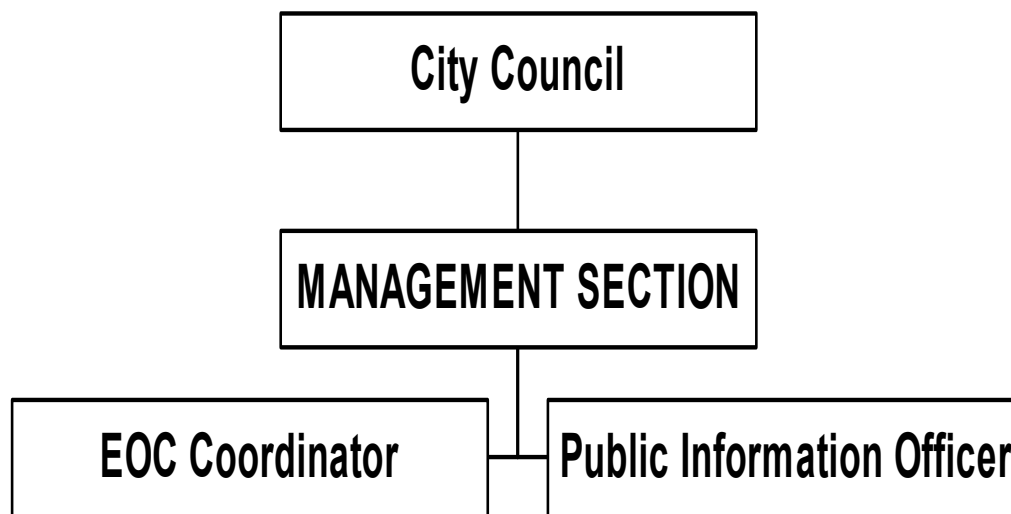
The State of California Emergency Plan identifies three levels of emergencies that they use to categorize an appropriate response. The levels are based on the severity of the situation and the availability of local resources.

A minor to moderate incident wherein local resources are adequate and available. A LOCAL EMERGENCY may or may not be proclaimed.

Level 1 – Normal EOC Activation

This level is similar to day-to-day operations and would be used for those emergency situations for which normal management procedures and local resources are adequate. Local public safety and emergency function coordinators provide necessary support as established by appropriate agreements and ordinances. The local Emergency Operations Center (EOC) is not activated and other inter-agency coordination (e.g., fire, law, and public works) is accomplished via established telephone and radio communications systems and procedures at the incident and agency dispatch level. See Chart 1.

Chart 1
Level I - Normal



Level 2 – Partial EOC Activation

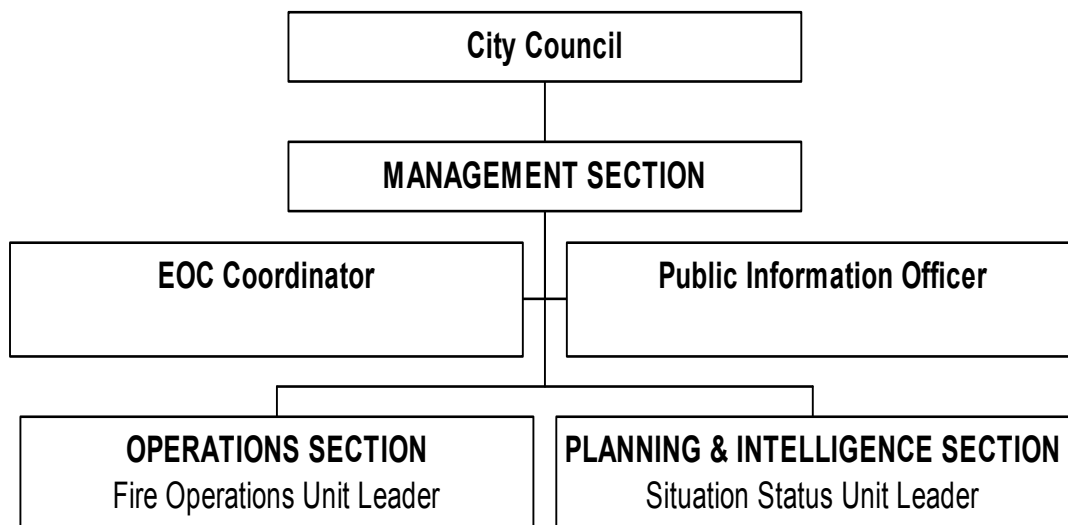
A moderate to severe emergency wherein local resources are not adequate and mutual aid may be required on a regional or even statewide basis. A LOCAL EMERGENCY will be proclaimed and a STATE OF EMERGENCY may be proclaimed.

This level of is used for emergencies that involve several departments or agencies from within the same jurisdiction and/or agencies from more than one jurisdiction that requires close coordination. Key management level personnel from the principally involved agencies will move to a central location to provide jurisdiction or multi-jurisdiction coordination for the emergency. The EOC is activated but only some of the positions are filled. This extent of activation may involve the early stages of what later becomes a larger problem. Activities can include, but are not limited to:

- Establishment of an area-wide situation assessment function.
- Establishment of an area-wide public information function.
- Establishment of resource requirements for the affected area and coordination of resource requests.
- Establishment and coordination of the logistical systems necessary to support multi-incident management.
- Establishment of priorities for resource allocation.

These functions are supplementary to those that may be performed by a single agency. In this mode, the required emergency management staff should meet in the EOC for coordination. Incident management established for the emergency would continue to report through the established 24-hour dispatch facility. Information would be provided to the EOC by agency dispatch facilities and/or by liaison personnel. See Chart 2.

Chart 2
Level II – Sample Partial EOC Activation



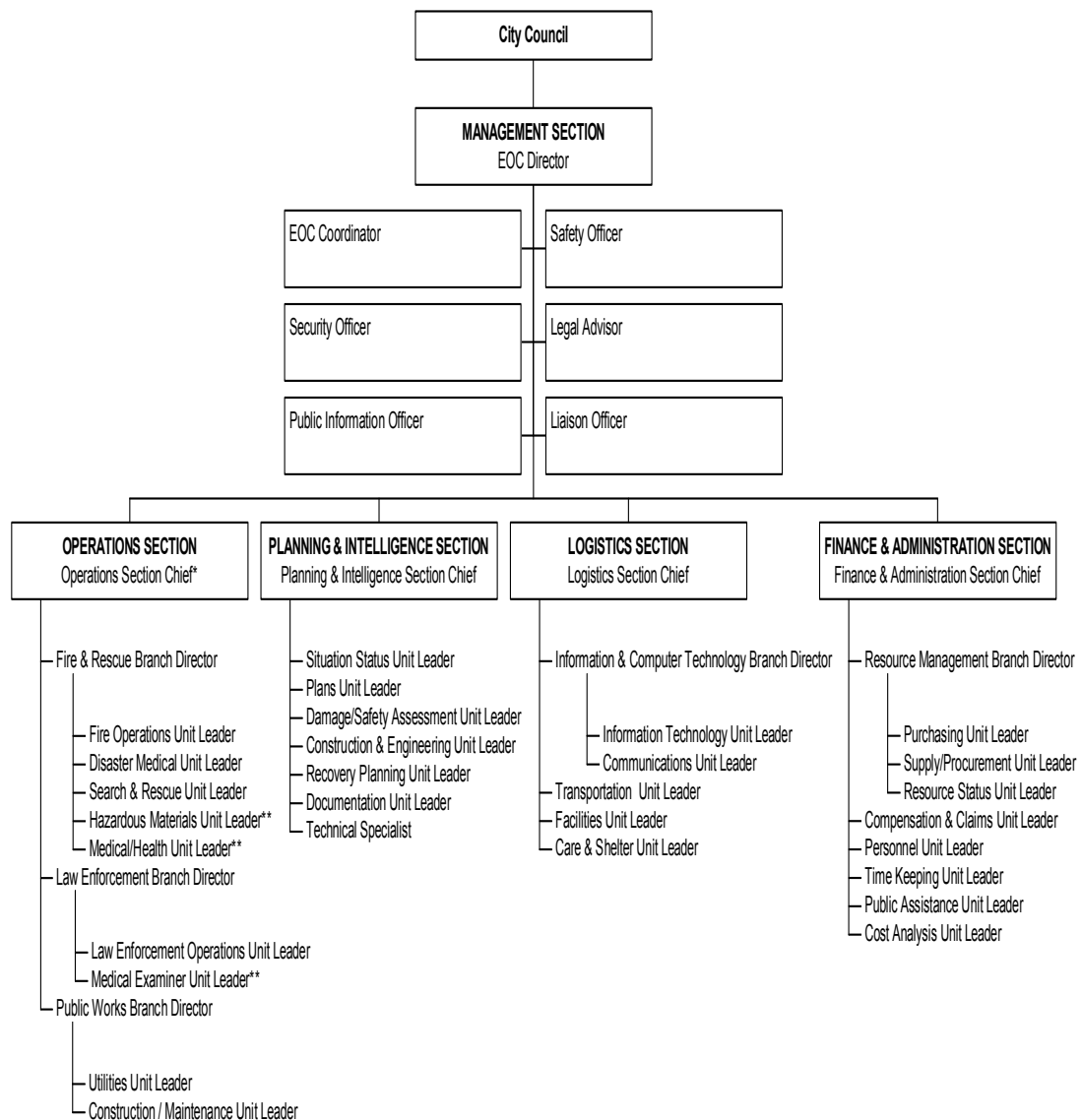
Level 3 – Full EOC Activation

Major disasters wherein resources in or near the impacted area are overwhelmed and extensive State and/or Federal resources are required. A LOCAL EMERGENCY and a STATE OF EMERGENCY would be proclaimed and a Presidential Declaration of an EMERGENCY OR MAJOR DISASTER would be requested.

A disaster that would render it impossible for the City of Carlsbad to effectively function at either Level I or Level II, would require a Level III. An example would be a major

earthquake causing substantial damage throughout the City. In this situation, the EOC would be activated and all or most of the EOC positions filled. All coordination and direction activities would be accomplished from the EOC. The Field Response Level would report to and receive direction from the EOC. A fully activated EOC would look like Chart 3.

Chart 3
Level III - Full EOC Activation



*Based on nature of the event, the EOC Director will appoint the Operations Section Chief.

**Normally coordinated by County, but a local Unit may be activated if needed.

B. NATIONAL SECURITY EMERGENCIES

National security emergencies may range from minor inconveniences such as food and petroleum shortages to a worst-case scenario involving a nuclear attack on the United States. Protective measures to be employed in the event of a threatened or actual attack on the United States include:

- In-place protection.
- Spontaneous evacuation by an informed citizenry may be considered a viable option within the context of this plan.

The Statewide Emergency Management System will be fully activated and centralized coordination and direction of emergency operations will be established. The Operational Area EOC and City EOC will be activated and staffed by the designated emergency management staff members.

IX. STANDARDIZED EMERGENCY MANAGEMENT SYSTEM

Background

The Standardized Emergency Management System (SEMS) is the system required by California Government Code Section 8607(a) for managing response to multi-agency and multi-jurisdictional emergencies in California.

As a result of events during the 1991 East Bay Hills fire, State Senator Petris introduced SB 1841 (chaptered as Government Code Section 8607, effective January 1, 1993). This statute directed the Governor's Office of Emergency Services; in coordination with all interested state agencies with designated response roles in the state emergency plan and interested local emergency management agencies, to establish by regulation the Standardized Emergency Management System.

The framework of SEMS includes the Incident Command System (ICS), multi-agency or inter-agency coordination, Master Mutual Aid Agreement and system, and operational area concept. The final regulations became effective September 2, 1994 as Title 19, Division 2, Chapter 1 of the California Code of Regulations.

The purpose of SEMS was to standardize key elements of the emergency management system in order to:

- Facilitate the flow of information within and between levels of the system, and
- Facilitate coordination among all responding agencies.

Use of SEMS will improve the mobilization, deployment, utilization, tracking, and demobilization of needed mutual aid resources. Use of SEMS will also reduce the incidence of poor coordination and communications, and reduce resource ordering duplication on multi-agency and multi-jurisdictional responses.

SEMS was designed to be flexible and adaptable to the varied disasters that occur in California and to the needs of all emergency responders.

A. Organizational Levels

SEMS consist of five organizational levels that are activated as necessary:

- Field Response
- Local Government
- Operational Areas (Countywide)
- Regional (OES Mutual Aid)
- State

Field Response Level

SEMS regulations require local government emergency response agencies to use ICS at the field response level in order to be eligible for state reimbursement of response related personnel costs. Volunteer and private agencies that may be assisting or cooperating local government agencies at an incident should also use ICS.

It's important that local government determine which agencies and departments have field level response personnel. Some agencies respond to emergencies on a day-to-day basis. Other agencies will become involved in emergency response to major incidents, or emergencies occurring on or affecting people on the agency's property or facilities. All such agencies should use ICS in their field response.

SEMS regulations define an emergency response agency as any organization responding to an emergency, or providing mutual aid support to such an organization, whether in the field, at the scene of an incident, or to an operations center. Local government agencies and departments that typically have personnel who may respond to emergencies in the field include, but are not limited to:

- Fire Services
- Law Enforcement
- Emergency Medical Services
- Public Works
- Street and Road
- Transportation
- Water/Wastewater
- Flood Control
- Utilities
- Parks and Recreation
- School Districts

The field response level is required to use SEMS and ICS when two or more emergency response agencies are involved in the incident or threat. The ICS field functions to be used for emergency management are: Command, Operations, Planning & Intelligence, Logistics, and Finance & Administration. Department SOPs contain position checklists for the field response level. This EOP addresses coordination and communication between field and EOC, as well as EOC roles and responsibilities.

Local Government Level

Local governments include cities, counties, and special districts. Local governments manage and coordinate the overall emergency response and recovery activities within their jurisdiction. In order to be eligible for state funding of response-related personnel costs, local governments are required to use SEMS when the Emergency Operations Center is activated or a Local Emergency is proclaimed. In SEMS, the local government emergency management organization and its relationship to the field response level may vary depending upon factors related to geographical size, population, function and complexity.

SEMS activation is required at the Local Government Level under the following conditions:

1. Local Emergency declared or proclaimed
2. Local government EOC is activated
3. Local government activates EOC and requests operational area EOC activation

All elements of local government with an emergency role have responsibilities for developing and using SEMS. The development of SEMS within the local government should be a cooperative effort of all departments and agencies with an emergency response role.

CEMAT is responsible for SEMS planning in the City of Carlsbad including:

- Communicating information within the City on SEMS requirements and guidelines
- Coordinating SEMS development among departments and agencies
- Coordinating with other local governments, the operational area, and volunteer and private agencies on development of SEMS
- Incorporating SEMS into the City's Emergency Operations Plan

Local governmental levels shall provide the following emergency management functions: Management, Operations, Planning & Intelligence, Logistics, and Finance & Administration. Local jurisdictions are responsible for overall direction of personnel and equipment provided for emergency operations through mutual aid (Government Code Section 8618). Additional details relative to the organization and responsibilities of the SEMS elements at each of the levels are provided in Volume One - Annexes.

The City of Carlsbad City Council adopted the Standardized Emergency Management System by Resolution No. 98-349 on October 20, 1998. The Council adopted SEMS for managing response to multi-agency and multi-jurisdiction emergencies and to facilitate communications and coordination between all levels of the system and among all responding agencies.

Operational Area

Under SEMS, the operational area creates an intermediate level of the state's emergency services organization consisting of a county and all political subdivisions within the county area. Political subdivisions include cities, a city and county, counties, district or other local governmental agency, or public agency as authorized by law.

The operational area is responsible for managing and/or coordinating information, resources and priorities among local governments within the operational area; and coordinating and communicating between the local government level and the regional level.

Activation of the Operational Area is required under the following conditions:

1. Local government activates EOC and requests operational area EOC activation
2. Two or more cities within the operational area declare or proclaim a local emergency
3. County and one or more cities declare or proclaim a local emergency
4. City, city and county, or county requests governor's state of emergency proclamation
5. Governor proclaims a state of emergency for county or two or more cities within the operational area
6. Operational area requests resources from outside its boundaries. This does not include resources used in normal day-to-day operations that are obtained through existing mutual aid agreements
7. Operational area has receives resource requests from outside its boundaries. This does not include resources used in normal day-to-day operations that are obtained through existing mutual aid agreements

SEMS regulations specify that all local governments within a county geographic area be organized into a single operational area and that the county board of supervisors is responsible for its establishment. The City of Carlsbad is a jurisdiction within San Diego County and therefore, a part of the San Diego County Operational Area.

According to the San Diego County Operational Area Emergency Plan, once the Operational Area is activated, the County's Chief Administrative Officer will serve one of two roles:

- Director of Emergency Services in a situation involving only the unincorporated area of the Operational Area.
- Coordinator of Emergency Services in a situation involving the unincorporated area and one or more cities, or one involving any two or more cities.

The Unified Disaster Council elects the Operational Area Director of Emergency Services/Coordinator of Emergency Services. The Operational Area staff will submit all requests for support that cannot be obtained within the County, and other relevant information, to OES Southern Region EOC (REOC). The County of San Diego EOC will fulfill the role of Operational Area EOC.

The San Diego County Office of Disaster Preparedness is the lead agency in the Operational Area's response effort and serves as staff to the Coordinator of Emergency Services. The Operational Area Plan is supported by functional annexes and are cross-referenced in the City EOP.

The San Diego County Board of Supervisors affirmed its commitment to assume responsibility for operational area coordination as stated in the San Diego County Operational Area Plan.

Regional

Because of its size and geography, the state has been divided into six mutual aid regions. The purpose of a mutual aid region is to provide for the more effective application and coordination of mutual aid and other emergency related activities. San Diego County is in Mutual Aid Region VI. State OES has also established three Administrative Regions (Coastal, Inland and Southern). These Administrative Regions are the means by which State OES maintains day-to-day contact with emergency services organizations at local, county and private sector organizations. San Diego County is in the Southern Administrative Region.

In SEMS, the regional level manages and coordinates information and resources among operational areas within the mutual aid region and also between the operational areas and the state level. The regional level also coordinates overall state agency support for emergency response activities within the region.

State

The state level of SEMS manages state resources in response to the emergency needs of the other levels and coordinates mutual aid among the mutual aid regions and between the regional level and state level. The state level also serves as the coordination and communication link between the state and the federal disaster response system.

B. Features Common to all Organizational/Response Levels

SEMS has several features based on the Incident Command System (ICS). The field response level uses functions, principles, and components of ICS as required in SEMS regulations. Many of these field response level features are also applicable at local government, operational area, regional and state levels. In addition, there are other ICS features that have application to all SEMS levels. Described below are the features of ICS that are applicable to all SEMS levels.

Essential Management Functions

SEMS has five essential functions adapted from ICS. The field response level uses the five primary ICS functions: command, operations, planning/intelligence, logistics and finance/administration. At the local government, operational area, regional and state levels, the term management is used instead of command. The titles of the other functions remain the same at all levels.

Management by Objectives

The Management by Objectives feature of ICS as applied to SEMS, means that each SEMS level establishes for a given operational period, measurable and attainable objectives to be achieved. An objective is an aim or end of an action to be performed. Each objective may have one or more strategies and performance actions needed to achieve the objective. The operational period is the length of time set by command at the field level, and by management at other levels to achieve a given set of objectives. The operational period may vary in length from a few hours to days, and will be determined by the situation.

Action Planning

Action planning should be used at all SEMS levels. There are two types of action plans in SEMS:

Incident Action Plans: At the field response level, written or verbal incident action plans contain objectives reflecting the overall incident strategy and specific tactical action and supporting information for the next operational period. Incident action plans are an essential and required element in achieving objectives under ICS.

EOC Action Plans: At local, operational area, regional, and state levels, the use of EOC action plans provide designated personnel with knowledge of the objectives to be achieved and the steps required for achievement. Action plans not only provide direction, but they also serve to provide a basis for measuring achievement of objectives and overall system performance. Action plans can be extremely effective tools during all phases of a disaster.

Organizational Flexibility--Modular Organization

The intent of this SEMS feature is that at each SEMS level: 1) only those functional elements that are required to meet current objectives need to be activated, and 2) that all elements of the organization can be arranged in various ways within or under the five SEMS essential functions.

The functions of any non-activated element will be the responsibility of the next highest element in the organization. Each activated element must have a person in charge of it, however one supervisor may be in charge of more than one functional element.

Organizational Unity and Hierarchy of Command or Management

Organizational Unity means that every individual within an organization has a designated supervisor. Hierarchy of command/management means that all functional elements within each activated SEMS level are linked together to form a single overall organization within appropriate span-of-control limits.

Span of Control

Maintaining a reasonable span of control is the responsibility of every supervisor at all SEMS levels. The optimum span of control is one to five, meaning that one supervisor has direct supervisory authority over five positions or resources. The recommended span of control for supervisory personnel at the field response level and all EOC levels should be in the one-to-three to one-to-seven range. A larger span of control may be acceptable when the supervised positions or resources are all performing a similar activity.

Personnel Accountability

An important feature of ICS applicable to all SEMS levels is personnel accountability. This is accomplished through the Organizational Unity and Hierarchy of Command or Management feature along with the use of check-in forms, position logs and various status keeping systems. The intent in bringing this ICS feature into SEMS is to ensure that there are proper safeguards in place so all personnel at any SEMS level can be accounted for at any time.

Common Terminology

In ICS, common terminology is applied to functional elements, position titles, facility designations and resources. The purpose of having common terminology is to rapidly enable multi-agency, multi-jurisdiction organizations and resources to work together effectively. This feature, as applied to all SEMS levels, would ensure that there is consistency and standardization in the use of terminology within and between all five SEMS levels.

Resources Management

In ICS, resources management describes the ways in which field level resources are managed and how status is maintained. At all SEMS levels, there will be some functional activity related to managing resources. This will vary from level to level in terms of directing and controlling, to coordination, to resource inventorying. Procedures for effective resources management must be geared to the function and the level at which the function is performed.

Integrated Communications

This feature of ICS relates to hardware systems, planning for system selection and linking, and the procedures and processes for transferring information. At the field response level, integrated communications is used on any emergency. At all EOC levels, and between all SEMS levels, there must be a dedicated effort to ensure that communications systems, planning and information flow are being accomplished in an effective manner. The specifics of how this is accomplished at EOC levels will be different than at the field response level.

X. CITY OF CARLSBAD EMERGENCY OPERATIONS**A. Field Response Level**

Field Response Level Management will be implemented as required for the on-scene management of field operations. The Field Incident Commander will determine the type of emergency as follows:

TYPE OF EMERGENCY	FIELD INCIDENT COMMANDER
Earthquake (including Tsunami)	Fire Department
Transportation Accident (Air, Rail & Shipping)	Police Department
Hazardous Materials Incident	Fire Department
Flood (Coastal & Inland)	Public Works
Severe Weather (Hurricane, Tropical Storm, Tornado)	Fire Department
Dam Failure	Public Works
Fire (Urban & Wildlife)	Fire Department
Drought	Public Works
Energy Shortage	Public Works
Nuclear Power Plant Evacuation	Police Department
Civil Unrest	Police Department
Workplace & School Violence	Police Department
Terrorism	Police Department
National Security	Police Department

B. Local Government Level

The City of Carlsbad Emergency Management Staff will be directed by the Director of Emergency Services (City Manager) who will be responsible to the City Council and Disaster Council (organized pursuant to Section 8610 of the Government Code). The Emergency Management Staff with responsibilities as indicated below will support the Director. During a national security emergency, an Emergency Resources Management Group will be organized as specified in the California Emergency Resources Management Plan (published and issued separately).

C. Responsibilities for the City of Carlsbad Emergency Management Staff

- Organizing, staffing and operating the EOC
- Operating communications and warning systems
- Providing information and guidance to the public
- Maintaining information on the status of resources, services and operations
- Directing and supporting field operations
- Obtaining support for the City of Carlsbad and providing support to other jurisdictions

- Analyzing radioactive fallout and other hazards and recommending appropriate countermeasures
- Collecting, evaluating and disseminating damage assessment and other essential information
- Providing status and other reports to the Operational Area Emergency Management Staff (if activated), or the OES Mutual Aid Regional Office

XI. FUNCTIONAL RESPONSIBILITIES OF LOCAL GOVERNMENT

In this plan, Carlsbad's emergency operations are divided into five essential functions. Each of these functions is represented in the Emergency Operations Center as a "Section". Specific details on functional, organizational and operational concepts, responsibilities for providing support to or accomplishing a given function, and applicable policies and procedures are provided in Volume One – Annexes. The Annexes also include Action Checklists to be accomplished by the EOC Staff.

MANAGEMENT SECTION – Responsible for providing for the overall emergency management policy and coordination through the joint efforts of governmental agencies and private organizations. The EOC Director (City Manager) will either activate additional functions or perform the functions as needed.

OPERATIONS SECTION – Responsible for coordinating all jurisdictional operations in support of the emergency response through implementation of the City's EOC Action Plan.

PLANNING & INTELLIGENCE SECTION – Responsible for collecting, evaluating and disseminating information; developing the City's EOC Action Plan in coordination with other sections; initiating and preparing the City's After-Action Report and maintaining documentation.

LOGISTICS SECTION - Responsible for providing communications, facilities, and transportation services, as well as technological needs such as radios, computers, data and telephones.

FINANCE & ADMINISTRATION SECTION – Responsible for provision of resources in the area of personnel, equipment and supplies. Also, financial activities and other administrative aspects. Administer fiscal procedures, including acquisition, payment and accounting.

Table 1
CITY OF CARLSBAD FUNCTIONAL RESPONSIBILITY MATRIX

P = Primary Responsibility S = Supporting Role *Appointed by EOC Director

	Management	Operations	Planning & Intelligence	Logistics	Finance & Administration
City Council	S				
City Manager's Office	P				
City Attorney	S				
MSA PUBLIC SAFETY		P*			
Fire	S	S			
Police	S	S			
MSA PUBLIC WORKS		P*			
Maintenance & Operations		S			
General Services	S	S		S	
Engineering Services		S			
MSA COMMUNITY DEVELOPMENT			P, S		
Building Inspection			S		
Housing & Redevelopment			S	S	
Planning			S		
MSA COMMUNITY SERVICES				P	
Library	S				
Recreation		S		S	
MSA ADMINISTRATIVE SERVICES					P
Finance					S
Human Resources					S
Information Technology		S		S	
Purchasing				S	
Records Management			S		
Risk Management					S

XII. CITY OF CARLSBAD FUNCTIONAL RESPONSIBILITIES

Note: All staff assigned to the EOC shall report to the EOC in the event of a disaster or emergency. All other staff shall report to their normal work locations.

BUILDING INSPECTION DEPARTMENT - Obtain, evaluate and disseminate all information on damage in the City during a disaster. Ensure the structural safety of private and public structures and facilities.

CEMAT – CEMAT (Carlsbad Emergency Management Administrative Team) members will serve as backup to the EOC Coordinator position in the Management Section. Facilities the overall function of the EOC, coordinates with other agencies and SEMS levels, and serves as a resource to the EOC Director.

CITY ATTORNEY - Serve as Legal Officer. Prepare proclamations, emergency ordinances and other legal documents.

CITY COUNCIL – Proclaim and/or ratify a local emergency, approve emergency orders and serve as City Official.

CITY MANAGER'S OFFICE – City Manager is the Director of Emergency Services and serves as the EOC Director in charge of the Management Section. Staff provides support as assigned. Assistant City Manager directs the Logistics and serves as the Liaison Officer. The Liaison Officer duties include providing liaison between organizations involved in the disaster, such as the County's Office of Disaster Preparedness, State Office of Emergency Services, hospitals, schools, utilities, etc.

COMMUNITY DEVELOPMENT - Director is Chief of the Planning & Intelligence Section, or may serve as Director/Department Operating Center (DOC) Director/Faraday. Staff assists Planning & Intelligence Section as needed. Economic Development Manager will also provides support to Planning & Intelligence Section Recovery Unit Leader.

ENGINEERING SERVICES DEPARTMENT –Deputy Public Works Director/City Engineer assigned to Construction & Engineering Unit of the Operations Section. Engineering Inspections assists the Building Inspection Department in evaluating damage sustained during a disaster. Disseminate information to the Situation Status Unit.

FINANCE DEPARTMENT – Administrative Services Director assigned to the Finance & Administration Section's Cost Analysis Unit. The Finance Director serves as the Purchasing Officer and is assigned to the Logistics Section. Order, receive, store, procure and allocate all disaster resources and supplies. Provide food and water for emergency workers.

FIRE DEPARTMENT – Fire Chief assigned to the Operations Section as needed by the Director of Emergency Services. Acts as Director of Emergency Services in the absence of the Assistant City Manager. Prevent, control and suppress fires, conduct rescue operations, provide and coordinate medical aid, triage and the transportation of the injured. Provide information to the Situation Status Unit. May also provide a Public Information Officer.

DISASTER PREPAREDNESS COORDINATOR - CEMAT's Chair is the City's Disaster Preparedness Coordinator. Serves as EOC Coordinator in the Management Section. Facilitates the overall functioning of the EOC, coordinates with other agencies and SEMS levels, and serves as a resource to the EOC Director.

GENERAL SERVICES – Serves the Facilities Unit and Transportation Unit in the Logistics Section. Facilities Maintenance Division Supervisor assigned to Facilities Unit establishes, sets up and maintains facilities, and provides shelter for emergency workers. Responsible for restoration and maintenance of essential services related to facilities, including the EOC. Fleet Maintenance Division Supervisor assigned to Transportation Unit that manages and coordinates transportation and equipment needs. Also manages and coordinates fuel for all ground equipment. Assists Operations Section in meeting resource requirements. Parks Maintenance Division Supervisor assigned to Operations Section to assist with radiological monitoring, if required. Assist in the field as assigned.

HOUSING AND REDEVELOPMENT DEPARTMENT – Assigned to the Logistics Section to assist the Recreation Department in coordinating with the Red Cross. Provide temporary shelter, feeding and registration of impacted persons. Operate mass care shelters. Provide information to the Situation Status Unit.

HUMAN RESOURCES DEPARTMENT -. Assigned Finance & Administration Section - Personnel Supply Unit. Coordinate personnel needs with Purchasing Unit. Provide liaison with families of City employees who are working during the disaster. Register emergency volunteers. Also responsible for maintaining City's emergency organization training and exercise records.

INFORMATION TECHNOLOGY DEPARTMENT - Director assigned to Logistics Section. Coordinate telephone service in the EOC. Install and maintain computing equipment in the EOC.

LIBRARY DEPARTMENT - Director serves as the Public Information Officer in the Management Section. Serve as an information resource to the public. Provide clerical support to various sections as assigned by the Director of Emergency Services.

PLANNING DEPARTMENT - Director assigned to Situation Status Unit, Plans Unit, Recovery Planning Unit, Documentation Unit in Planning & Intelligence Section. Collect and process all information and intelligence. Evaluate and disseminate information in the Planning & Intelligence Section. Supervise mapping and recording operations, documents and visual display.

POLICE DEPARTMENT - Chief assigned to the Operations Section as needed by the Director of Emergency Services. Provides staffing for Security Officer position in the Management Section, charged with maintaining security of EOC. Staff the Law Enforcement Unit, responsible for receipt and dissemination of warning information. Direct the evacuation of citizens. Control traffic and enforce laws and temporary rules. Coordinate with other law enforcement agencies. Assist the County's Medical Examiner in the operation of a morgue. May also provide a Public Information Officer who coordinates information dissemination with PIO in Management Section. Supervise emergency communications. Assist Planning & Intelligence Section with damage assessment and the Logistics Section Facilities Unit.

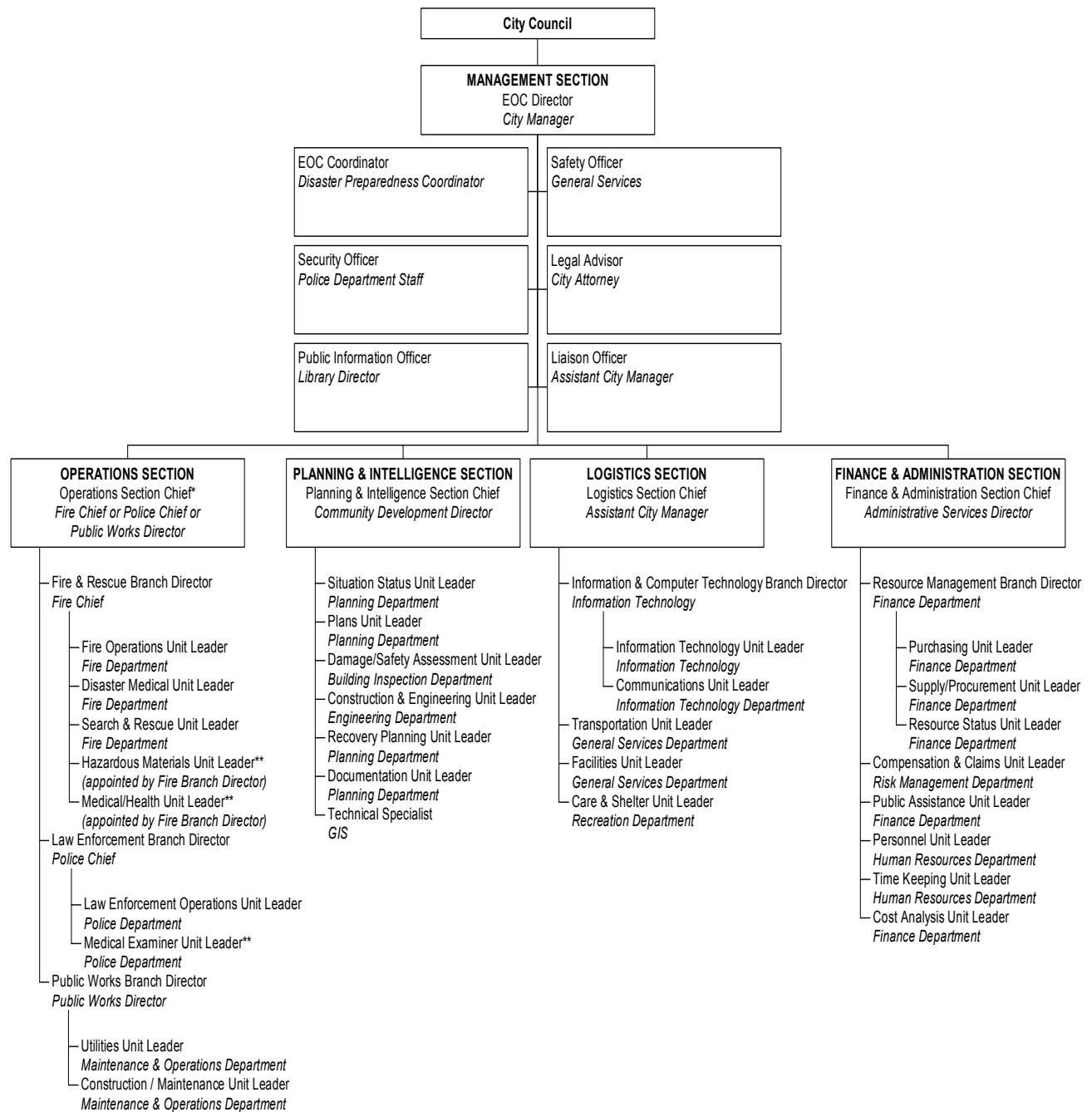
PUBLIC WORKS - Director assigned to Operations Section as needed by Director of Emergency Services. Responsible for coordinating all Public Works operations; survey and/or restore public facilities and utilities; assist other functions with traffic issues, search and rescue, transportation, etc. as needed. Staff Public Works Branch, Construction & Engineering Unit, Public Works Unit, and Utilities Unit.

RECORDS MANAGEMENT – Assists Planning Department with Documentation Unit in Planning & Intelligence Section.

RECREATION DEPARTMENT – Director assigned to Care & Shelter Unit in Logistics Section. In coordination with the Red Cross and Housing and Redevelopment, provide temporary shelter, feeding and registration of impacted persons. Coordinate mass care shelters. Recreation Department sets up Disaster Assistance Centers (DAC) with State and Federal government agencies, private service organizations and certain representatives of the private sector, along with information and telephone numbers for essential City services. Provide information to the Situation Status Unit in Planning & Intelligence Section.

RISK MANAGEMENT - Manager assigned to the Finance & Administration Section. Assist in processing of claims. Compensation & Claims Unit Leader.

Chart 4
CITY OF CARLSBAD EMERGENCY ORGANIZATION



*** Based on nature of the event, the EOC Director will appoint the Operations Section Chief.**

**** Normally coordinated by County, but a local Unit may be activated if needed.**

Specific position staffing recommendations are located in Volume One – Annexes.

Table 2 – Local Government Functional Responsibilities
(P = Primary Responsibility, S = Supporting Role)

*Based on nature of the event, the EOC Director will appoint the Operations Section Chief.

**Typically coordinated by County. EOC Operations Chief will appoint liaison if needed.

	Local Government/Departments/Agencies																							
	City Council	City Manager's Office	City Attorney	MSA PUBLIC SAFETY	Fire	Police	MSA PUBLIC WORKS	Maintenance & Operations	Engineering Services	General Services	MSA COMMUNITY DEVELOPMENT	Building Inspection	Housing & Redevelopment	Planning	MSA COMMUNITY SERVICES	Library	Recreation	MSA ADMINISTRATIVE SERVICES	Finance	Human Resources	Information Technology	Purchasing	Records Management	Risk Management
FUNCTIONS																								
MANAGEMENT SECTION		P																						
EOC Director	S	P																						
EOC Coordinator					P																			
Public Information Officer	S				S	S										P								
Liaison Officer		P																						
Safety Officer										P														
Security Officer						P																		
Legal Advisor			P																					
OPERATIONS SECTION					P*	P*	P*																	
Fire & Rescue Branch					P																			
Fire Operations Unit					P																			
Disaster Medical Unit					P																			
Search & Rescue Unit					P	S																		
Hazardous Materials Unit**					P					S														
Medical/Health Unit**					P																			
Law Enforcement Branch						P																		
Law Enforcement Operations Unit						P																		
Medical Examiner Unit**						P																		
Public Works Branch							P																	
Construction & Engineering Unit									P															
Utilities Unit								P																
Public Works Unit										P														
PLANNING & INTELLIGENCE SECTION											P													
Situation Status Unit														P										
Plans Unit														P										
Documentation Unit														P									S	
Damage/Safety Assessment Unit					S	S	S					P												
Technical Specialist											P													
Recovery Planning Unit													S	P										
LOGISTICS SECTION															P									
Resource Management Branch																						P		
Purchasing Unit																						P		
Supply/Procurement Unit																						P		
Resource Status Unit																						P		
Information & Computer System Branch																					P			
Transportation Unit										P														
Facilities Unit										P														
Care & Shelter Unit																	P							

Table 2 (continued) – Local Government Functional Responsibilities
(P = Primary Responsibility, S = Supporting Role)

*Based on nature of the event, the EOC Director will appoint the Operations Section Chief.

**Typically coordinated by County. EOC Operations Chief will appoint liaison if needed.

	Local Government/Departments/Agencies																							
	City Council	City Manager's Office	City Attorney	MSA PUBLIC SAFETY	Fire	Police	MSA PUBLIC WORKS	Maintenance & Operations	Engineering Services	General Services	MSA COMMUNITY DEVELOPMENT	Building Inspection	Housing & Redevelopment	Planning	MSA COMMUNITY SERVICES	Library	Recreation	MSA ADMINISTRATIVE SERVICES	Finance	Human Resources	Information Technology	Purchasing	Records Management	
FUNCTIONS																								
FINANCE & ADMINISTRATION SECTION																								
Time Keeping Unit																				P				
Compensation & Claims Unit																								
Cost Analysis Unit																			P					
Personnel Unit																				P				
Public Assistance Unit																								

AUTHORITIES AND REFERENCE

GENERAL

The California Emergency Services Act (Chapter 7 of Division 1 of Title 2 of the Government Code), hereafter referred to as the Act, provides the basic authorities for conducting emergency operations following a proclamation of Local Emergency, State of Emergency or State of War Emergency by the Governor and/or appropriate local authorities, consistent with the provisions of the Act.

The Standardized Emergency Management System (SEMS) Regulations (Chapter 1 of Division 2 of Title 19 of the California Code of Regulations), hereafter referred to as SEMS, establishes the SEMS to provide an effective response to multi-agency and multi-jurisdiction emergencies in California. SEMS is based on the Incident Command System (ICS) adapted from the system originally developed by the Firefighting Resources of California Organized for Potential Emergencies (FIRESCOPE) program. SEMS incorporates the use of ICS, the Master Mutual Aid Agreement and existing mutual aid systems, the Operational Area concept, multi-agency or inter-agency coordination and OASIS.

The California Emergency Plan, which is promulgated by the Governor, is published in accordance with the Act and provides overall statewide authorities and responsibilities, and describes the functions and operations of government at all levels during extraordinary emergencies, including wartime. Section 8568 of the Act states, in part, that "the State Emergency Plan shall be in effect in each political subdivision of the state, and the governing body of each political subdivision shall take such action as may be necessary to carry out the provisions thereof." Local emergency plans are, therefore, considered to be extensions of the California Emergency Plan. The 1990 California Emergency Plan is generally compatible with SEMS but will be updated.

The California Civil and Government Codes contain several references to liability release (Good Samaritan Act) for those providing emergency services. These references are contained in Volume Two – Supporting Documents.

EMERGENCY PROCLAMATIONS

Local Emergency

A Local Emergency may be proclaimed by the City Council or by the Director of Emergency Services as specified by ordinance adopted by the City Council. A Local Emergency proclaimed by the Director of Emergency Services must be ratified by the City Council within seven days. The governing body shall review, at its regularly scheduled meetings until the Local Emergency is terminated, the need for continuing the Local Emergency. However, in no event shall a review take place more than 21 days after the previous review. However, if the governing body meets weekly, it shall review the need for continuing the Local Emergency at least every fourteen days, until the Local Emergency is terminated. The Local Emergency must be terminated by resolution as soon as conditions warrant. Proclamations are normally made when there is an actual incident or threat of disaster or extreme peril to the safety of persons and property within the city, caused by natural or man-made situations.

The proclamation of a Local Emergency provides the governing body with the legal authority to:

- If necessary, request that the Governor proclaim a State of Emergency
- Promulgate or suspend orders and regulations necessary to provide for the protection of life and property, including issuing orders or regulations imposing a curfew within designated boundaries
- Exercise full power to provide mutual aid to any affected area in accordance with local ordinances, resolutions, emergency plans, or agreements
- Request state agencies and other jurisdictions to provide mutual aid
- Require the emergency services of any local official or employee
- Requisition necessary personnel and materials from any local department or agency
- Obtain vital supplies and equipment and, if required, immediately commandeer the same for public use
 - Impose penalties for violation of lawful orders
 - Conduct emergency operations without incurring legal liability for performance, or failure of performance. (Note: Article 17 of the Emergency Services Act provides for certain privileges and immunities.)

State of Emergency

A State of Emergency may be proclaimed by the Governor when:

- Conditions of disaster or extreme peril exist which threaten the safety of persons and property within the state caused by natural or man-made incidents
- He is requested to do so by local authorities
- He finds that local authority is inadequate to cope with the emergency

Whenever the Governor proclaims a State of Emergency:

- Mutual aid shall be rendered in accordance with approved emergency plans when the need arises in any county, city and county, or city for outside assistance
- The Governor shall, to the extent he deems necessary, have the right to exercise all police power vested in the state by the Constitution and the laws of the State of California within the designated area
- Jurisdictions may command the aid of citizens as deemed necessary to cope with an emergency

- The Governor may suspend the provisions of orders, rules or regulations of any state agency; and any regulatory statute or statute prescribing the procedure for conducting state business
- The Governor may commandeer or make use of any private property or personnel (other than the media) in carrying out the responsibilities of his office
- The Governor may promulgate, issue and enforce orders and regulations deemed necessary

State of War Emergency

Whenever the Governor proclaims a State of War Emergency, or if a State of War Emergency exists, all provisions associated with a State of Emergency apply, plus:

- All state agencies and political subdivisions are required to comply with the lawful orders and regulations of the Governor which are made or given within the limits of his authority as provided for in the Emergency Services Act

AUTHORITIES

The following provides emergency authorities for conducting and/or supporting emergency operations:

Federal

Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988 (Public Law 93-288, as amended).

Federal Civil Defense Act of 1950 (Public Law 920), as amended.

NRT-1, Hazardous Materials Emergency Planning Guide and NRT-1A Plan Review Guide (Environmental Protection Agency's National Response Team).

State

Standardized Emergency Management System (SEMS) Regulations (Chapter 1 of Division 2 of Title 19 of the California Code of Regulations) and (Government Code Section 8607(a). Standardized Emergency Management System (SEMS) Guidelines.

California Emergency Services Act (Chapter 7 of Division 1 of Title 2 of the Government Code). "Good Samaritan" Liability.

California Emergency Plan.

California Natural Disaster Assistance Act (Chapter 7.5 of Division 1 of Title 2 of the Government Code).

California Hazardous Materials Incident Contingency Plan.

California Health and Safety Code, Division 20, Chapter 6.5, Sections 25115 and 25117, Chapter 6.95, Sections 2550 et seq., Chapter 7, Sections 25600 through 25610, dealing with hazardous materials.

Orders and Regulations which may be Selectively Promulgated by the Governor during a State of Emergency.

Orders and Regulations Promulgated by the Governor to Take Effect upon the Existence of a State of War Emergency.

California Master Mutual Aid Agreement.

Local

City of Carlsbad Municipal Code Chapter 6.04, Emergency Services, adopted September 1, 1970 by the City Council.

Resolution No.60A adopting the Master Mutual Aid Agreement, adopted July 21, 1953.

Resolution No.98-349 adopting the SEMS Multi-Hazard Functional Plan (1998), adopted October 20, 1998.

REFERENCES

Federal Response Plan (FEMA).

Disaster Assistance Procedure Manual (State OES).

California Emergency Resources Management Plan.

California Master Mutual Aid Agreement.

California Law Enforcement Mutual Aid Plan.

California Fire and Rescue Operations Plan.

HAZARD MITIGATION

PURPOSE

This section establishes actions, policies and procedures for implementing Section 409 (Minimum Standards for Public and Private Structures) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988 (Public Law 93-288, as amended), following a Presidential declaration of Emergency or Major Disaster. It also assigns hazard mitigation responsibilities to various elements of federal, state, and local governments in California.

AUTHORITIES AND REFERENCES

Activities enumerated in this enclosure will be conducted in accordance with the enabling legislation, plans, and agreements listed in Volume One, Chapter Two—Authorities and References.

GENERAL

Hazard mitigation is defined as any action taken to reduce or eliminate the long-term risk to human life and property from natural hazards. Section 409 of Public Law 93-288 requires, as a condition to receiving federal disaster aid that repairs and reconstruction be done in accordance with applicable codes, specifications, and standards. It also requires that the state or local government recipients of federal aid evaluate the natural hazards of the area in which the aid is to be used, and take action to mitigate them, including safe land use and construction practices.

To be effective, hazard mitigation actions must be taken in advance of a disaster. After disaster strikes, mitigation opportunities exist only during recovery, and even those opportunities can be limited by the absence of advance planning. Nevertheless, the immediate post-disaster period does present special opportunities for mitigation. Section 409 deals with the opportunities presented in a current disaster to mitigate potential hardship and loss resulting from future disasters. Thus, hazard mitigation is a continuing year-round effort and activity in which all local communities and state agencies are encouraged to prepare hazard mitigation plans that identify ways to reduce damage caused by disasters. Hazard mitigation includes such activities as:

- Improving structures and facilities at risk
- Identifying hazard-prone areas and developing standards for prohibited or restricted use
- Recovery and relief from loss, including insurance
- Providing hazard warning and protecting the population

Following a presidential disaster declaration, the Hazard Mitigation Grant Program (HMGP) is activated. The HMGP is authorized by Section 404. The program's purpose is to fund projects which are cost-effective and which substantially reduce the risk of future damage, hardship, loss or suffering resulting from a major natural disaster. Grants are available to eligible applicants in the declared areas only.

The HMGP fund is based upon a 15 percent share of the Federal Emergency Management Agency (FEMA) estimate of all Damage Survey Reports (DSRs) for public assistance work performed, and Individual Assistance costs. The federal contribution can be up to 75 percent of the cost of the hazard mitigation project approved for funding, with applicants providing match funding through a combination of either state, local or private sources. HMGP funds cannot be used as the sole match for other federally funded programs.

Section 404 funding may not be used to fund any mitigation project that might be eligible under Public Assistance or other federal programs, although it might be used to complement or enhance mitigation funded under Individual or Public Assistance. By regulation Section 404 funding is the funding of last resort.

IMPLEMENTATION

Following each Presidential declaration of Emergency or Major Disaster, the Regional Director of the Federal Emergency Management Agency (FEMA) and the Governor execute a document called the Federal/State Agreement. This agreement includes appropriate provisions for hazard mitigation. Under the "typical paragraph" set out to serve this purpose, the State agrees to:

- Evaluate or have the applicant evaluate specific natural hazards in the disaster area, and make appropriate recommendations to mitigate them
- Follow up with applicants to ensure that the appropriate hazard mitigation actions are taken
- Follow up with applicants to ensure that the appropriate hazard mitigation plan or plans are developed and submitted to the FEMA Regional Director for concurrence
- Review and update as necessary disaster mitigation portions of emergency plans

A Hazard Mitigation Officer is appointed for the state and local applicant. These individuals will constitute the hazard mitigation survey team that will:

- Identify significant hazards in the affected areas, giving priority to disaster-related hazards.
- Evaluate impacts of these hazards and recommend mitigation measures

The hazard mitigation survey team uses information from Damage Survey Reports (DSRs) and visits selected sites where significant damage has occurred. The state and local representatives on the hazard mitigation survey team are responsible for ensuring that there is adequate consultation among interested federal, state, and local parties

The hazard mitigation survey team also prepares a hazard mitigation plan which is submitted to the FEMA Regional Director through the Governor's authorized representative within 180 days after a Presidential declaration. The objectives of the plan are to:

- Recommend hazard mitigation measures for local, state, and federal agencies
- Establish short and long-term planning frameworks for implementation of hazard mitigation efforts

CONCEPT OF OPERATIONS

Each applicant is expected to use its resources and capabilities as necessary to perform emergency work, such as debris removal or emergency measures to save lives, or to protect public health and safety, or to protect property, before requesting assistance from state or federal government. Local, state, and federal preliminary damage assessments are used to identify major hazards and opportunities for hazard mitigation activities prior to a declaration of Major Disaster or Emergency. Damage survey reports shall include identification of hazards and shall recommend mitigation measures to be incorporated into the repair work.

The federal/state hazard mitigation survey team shall review applicable land use regulations, construction standards, and other appropriate hazard mitigation measures. Utilizing information from preliminary damage assessments, DSRs, and all other pertinent information, the team shall visit the sites of significant damage and shall evaluate all hazards at those sites. For each identified significant hazard the team shall include appropriate hazard mitigation recommendations.

In cases where no plans for hazard mitigation exist or are inadequate, the team shall report its findings and make recommendations to develop, improve or maintain hazard mitigation plans. Existing local and state hazard mitigation plans shall be updated and new ones developed as deemed necessary. Technical advice and assistance will be sought from federal, state and local agencies in developing new plans or updating existing plans to mitigate hazards identified.

The hazard mitigation survey team shall make recommendations on any needs for new mapping or re-mapping of high hazard areas.

RESPONSIBILITIES

A set procedure has been established for hazard mitigation following a disaster, to avoid similar disasters in the future. Hazard mitigation measures include avoidance, reduction and land use regulations.

The FEMA Regional Director is responsible for hazard mitigation actions under the terms of the Federal/State Agreement. The Regional Director shall provide overall leadership with respect to the general administration of Section 409 to ensure that the ultimate benefits to be gained through effective hazard mitigation programs are not diminished. The Regional Director also provides technical advice and assistance.

State and local governments will be encouraged to adopt safe land use practices and construction standards. A representative of the Office of Emergency Services (OES) will be appointed by the Governor and will be responsible for state performance of hazard mitigation activities under the Federal/State Agreement.

The applicant's authorized representative, appointed locally, is responsible for local performance of hazard mitigation measures under the terms of the Federal/State Agreement. The applicant's authorized representative shall, to the extent of legal authority, implement and enforce land use regulations and safe construction practices which are agreed upon as conditions for FEMA grants or loans. Each city and county is charged with implementing and enforcing its own hazard mitigation measures.

Local Government Responsibilities

The key responsibilities of local governments are to:

- Participate in the process of evaluating hazards and adoption of appropriate hazard mitigation measures, including land use and construction standards
- Appoint a Local Hazard Mitigation Officer, if appropriate
- Participate on Hazard Mitigation Survey Teams and Inter-agency Hazard Mitigation Teams, as appropriate

- Participate in the development and implementation of section 409 plans or plan updates, as appropriate
- Coordinate and monitor the implementation of local hazard mitigation measures

MUTUAL AID

INTRODUCTION

The foundation of California's emergency planning and response is a statewide mutual aid system which is designed to ensure that adequate resources, facilities and other support is provided to jurisdictions whenever their own resources prove to be inadequate to cope with a given situation(s). The basis for the system is the California Disaster and Civil Defense Master Mutual Aid Agreement, as provided for in the California Emergency Services Act. This Agreement was developed in 1950 and has been adopted by the state, all 58 counties and most incorporated cities in the State of California. The Master Mutual Aid Agreement creates a formal structure wherein each jurisdiction retains control of its own facilities, personnel and resources, but may also receive or render assistance to other jurisdictions within the state. State government is obligated to provide available resources to assist local jurisdictions in emergencies. It is the responsibility of the local jurisdiction to negotiate, coordinate and prepare mutual aid agreements. Mutual aid agreements exist in law enforcement, fire services, medical and public works and for emergency managers.

MUTUAL AID SYSTEM

A statewide mutual aid system, operating within the framework of the Master Mutual Aid Agreement, allows for the progressive mobilization of resources to and from emergency response agencies, local governments, operational areas, regions and state with the intent to provide requesting agencies with adequate resources. The general flow of mutual aid resource requests and resources within mutual aid systems are depicted in the diagram in Chart 5.

The statewide mutual aid system includes several discipline-specific mutual aid systems, such as fire and rescue, law, medical and public works. The adoption of SEMS does not alter existing mutual aid systems. These systems work through local government, operational area, regional and state levels consistent with SEMS.

Mutual aid may also be obtained from other states. Interstate mutual aid may be obtained through direct state-to-state contacts, pursuant to interstate agreements and compacts, or may be coordinated through federal agencies.

MUTUAL AID REGIONS

Mutual aid regions are established under the Emergency Services Act by the Governor. Six mutual aid regions numbered I-VI have been established within California. The City of Carlsbad is within Region VI. Each mutual aid region consists of designated counties. Region VI is in the OES Southern Administrative Region. (See Chart 6)

CHART 5

GENERAL FLOW OF REQUESTS AND RESOURCES

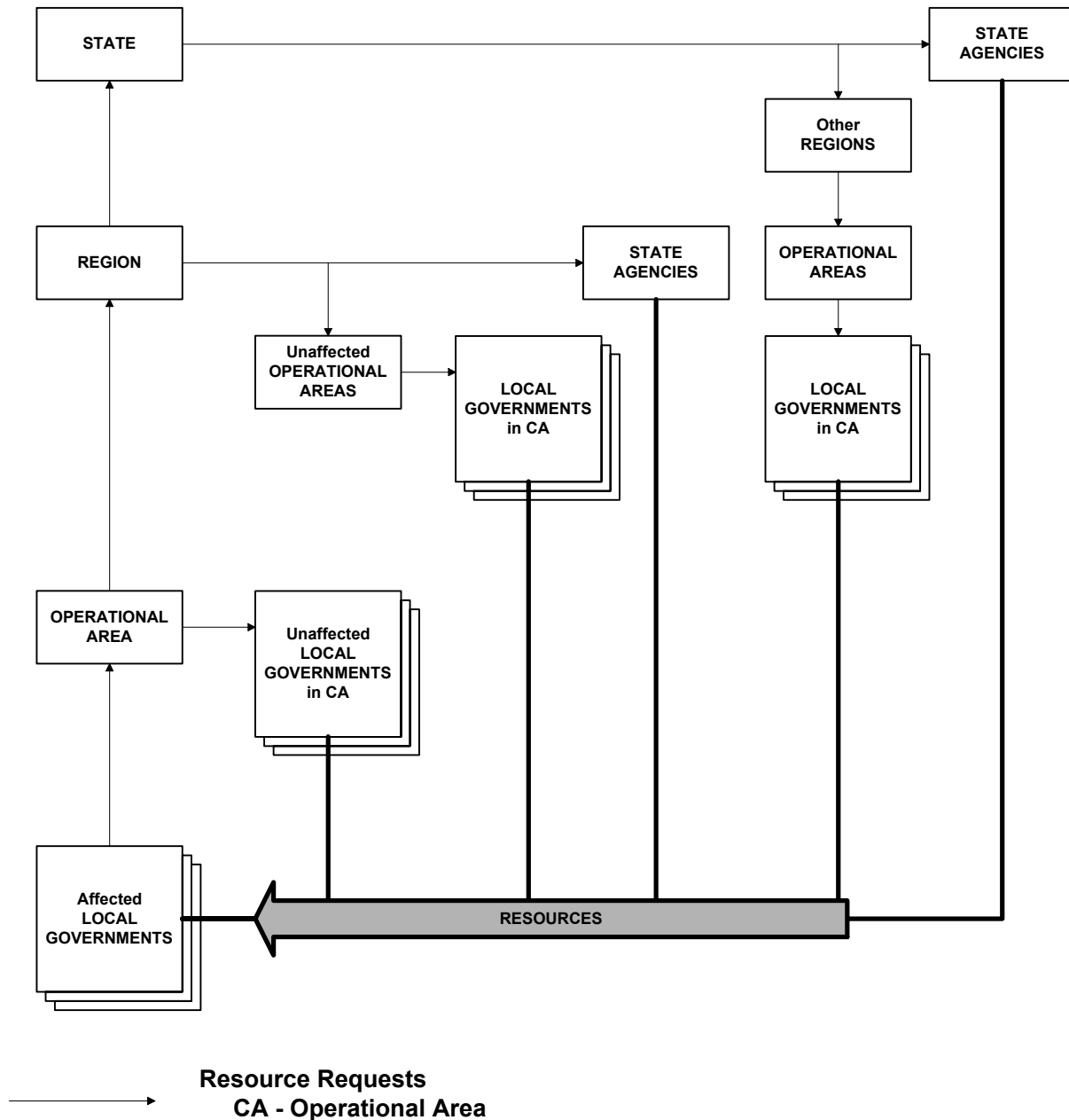


CHART 6
STATE MUTUAL AID REGION MAP

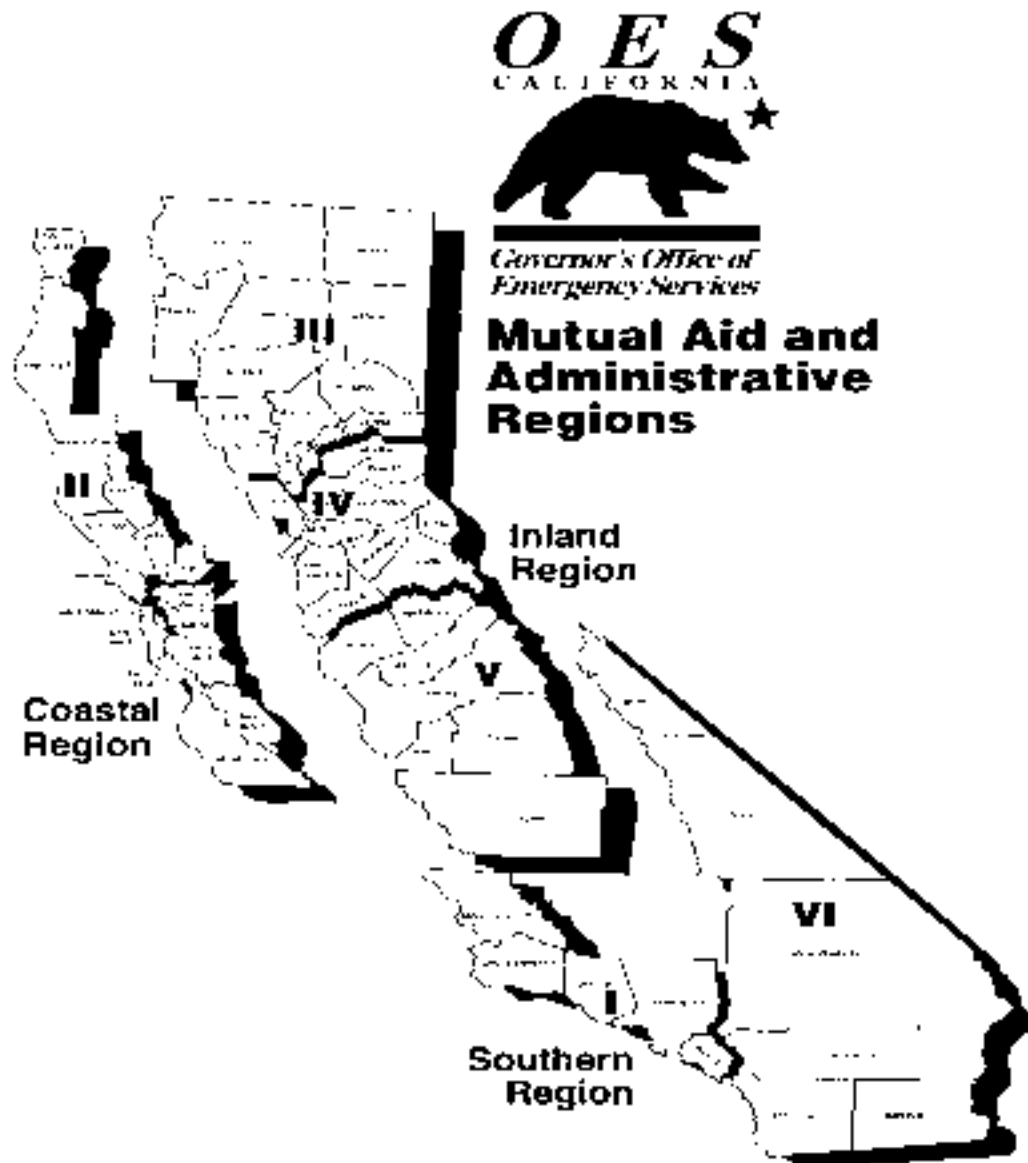
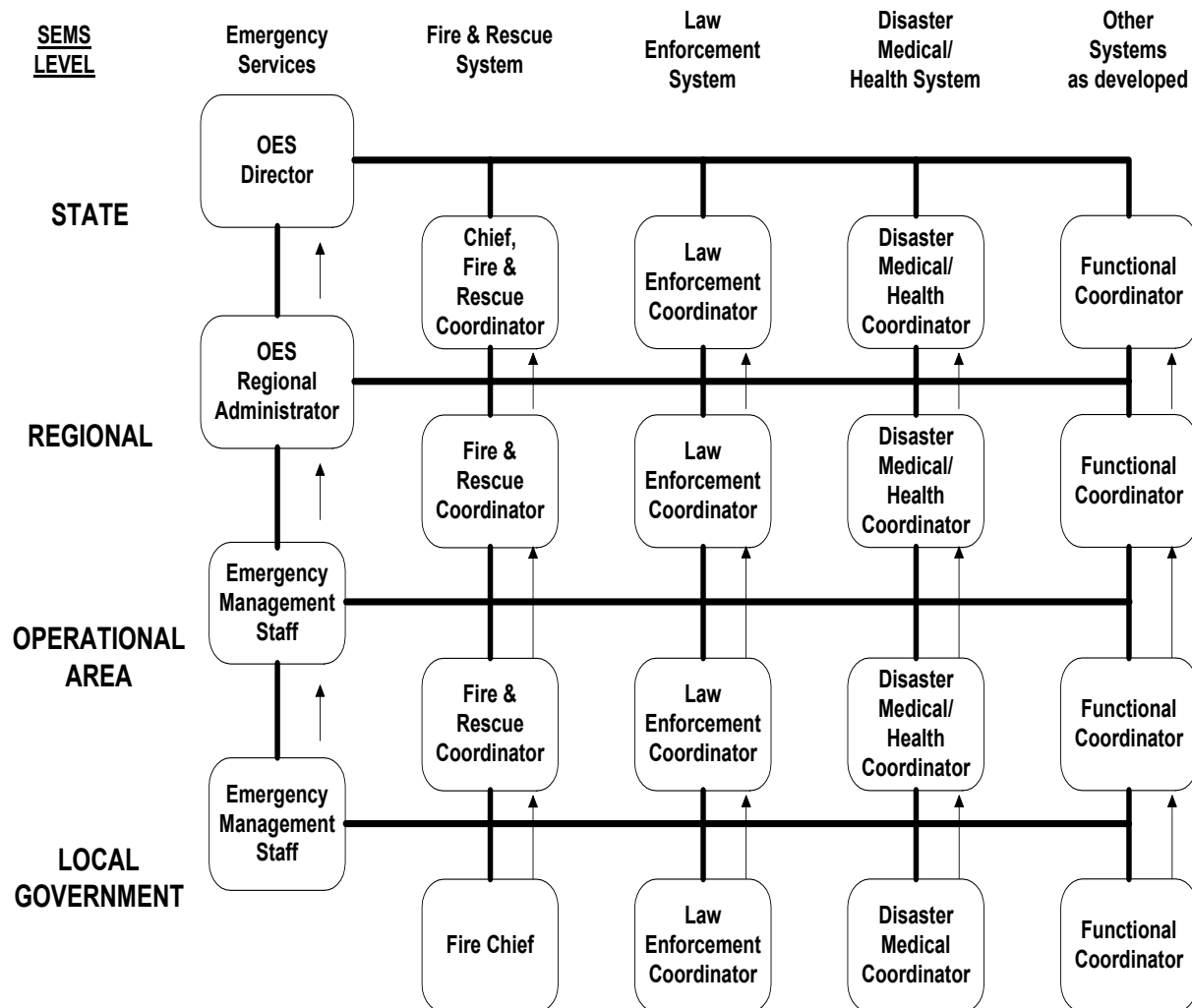


CHART 7

MUTUAL AID COORDINATORS FLOW CHART

Discipline-specific Mutual Aid Systems

MUTUAL AID COORDINATORS

To facilitate mutual aid, discipline-specific mutual aid systems work through designated mutual aid coordinators at the operational area, regional and state levels. The basic role of a mutual aid coordinator is to receive mutual aid requests, coordinate the provision of resources from within the coordinator's geographic area of responsibility and pass on unfilled requests to the next level.

Mutual aid requests that do not fall into one of the discipline-specific mutual aid systems are handled through the emergency services mutual aid system by emergency management staff at the local government, operational area, regional and state levels. The flow of resource requests and information among mutual aid coordinators is illustrated in Chart 7.

Mutual aid coordinators may function from an EOC, their normal departmental location or other locations depending on the circumstances. Some incidents require mutual aid but do not necessitate activation of the affected local government or operational area EOCs because of the incident's limited impacts. In such cases, mutual aid coordinators typically handle requests from their normal work location. When EOCs are activated, all activated discipline-specific mutual aid systems should establish coordination and communications with the EOCs:

- When an operational area EOC is activated, operational area mutual aid system representatives should be at the operational area EOC to facilitate coordination and information flow
- When an OES Regional EOC (REOC) is activated, regional mutual aid coordinators should have representatives in the REOC unless it is mutually agreed that effective coordination can be accomplished through telecommunications. State agencies may be requested to send representatives to the REOC to assist OES regional staff in handling mutual aid requests for disciplines or functions that do not have designated mutual aid coordinators
- When the State Operations Center (SOC) is activated, state agencies with mutual aid coordination responsibilities will be requested to send representatives to the SOC

Mutual aid system representatives at an EOC may be located in various functional elements (sections, branches, groups or units) or serve as an agency representative, depending on how the EOC is organized and the extent to which it is activated.

PARTICIPATION OF VOLUNTEER AND PRIVATE AGENCIES

Volunteer agencies and private agencies may participate in the mutual aid system along with governmental agencies. For example, the disaster medical mutual aid system relies heavily on private sector involvement for medical/health resources. Some volunteer agencies such as the American Red Cross, Salvation Army and others are an essential element of the statewide emergency response to meet the needs of disaster victims. Volunteer agencies mobilize volunteers and other resources through their own systems. They also may identify resource needs that are not met within their own systems that would be requested through the mutual aid system. Volunteer agencies with extensive involvement in the emergency response should be represented in EOCs.

Some private agencies have established mutual aid arrangements to assist other private agencies within their functional area. For example, electric and gas utilities have mutual aid agreements within their industry and established procedures for coordinating with governmental EOCs. In some functional areas, services are provided by a mix of special district, municipal and private agencies. Mutual aid arrangements may include both governmental and private agencies.

Liaison should be established between activated EOCs and private agencies involved in a response. Where there is a need for extensive coordination and information exchange, private agencies should be represented in activated EOCs at the appropriate SEMS level.

EMERGENCY FACILITIES USED FOR MUTUAL AID

Incoming mutual aid resources may be received and processed at several types of facilities including marshaling areas, mobilization centers and incident facilities. Each type of facility is described briefly below.

Marshaling Area: Defined in the Federal Response Plan as an area used for the complete assemblage of personnel and other resources prior to their being sent directly to the disaster affected area. Marshaling areas may be established in other states for a catastrophic California earthquake.

Mobilization Center: Off-incident location at which emergency service personnel and equipment are temporarily located pending assignment, release or reassignment. For major area-wide disasters, mobilization centers may be located in or on the periphery of the disaster area.

Incident Facilities/Staging Areas: Incoming resources may be sent to staging areas, other incident facilities or directly to an incident, depending on the circumstances. Staging areas are temporary locations at an incident where personnel and equipment are kept while awaiting tactical assignments.

POLICIES AND PROCEDURES

- Mutual aid resources will be provided and utilized in accordance with the California Master Mutual Aid Agreement
- During a proclaimed emergency, inter-jurisdictional mutual aid will be coordinated at the county, operational area or mutual aid regional level
- Because different radio frequencies are in use among most agencies, local agencies should provide incoming mutual aid forces with portable radios having local frequencies
- The City of Carlsbad will make mutual aid requests through the San Diego County Operational Area

Requests should specify, at a minimum:

- Number and type of personnel needed.
- Type and amount of equipment needed.
- Reporting time and location.
- Authority to whom forces should report.
- Access routes.
- Estimated duration of operations.
- Risks and hazards.

AUTHORITIES AND REFERENCES

Mutual aid assistance may be provided under one or more of the following authorities:

- California Master Mutual Aid Agreement.
- California Fire and Rescue Emergency Plan.
- California Law Enforcement Mutual Aid Plan.
- Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288, as amended)—provides federal support to state and local disaster activities.

CITY OF CARLSBAD MUTUAL AID AGREEMENTS

State of California	Master Mutual Aid
Operational Area	Inter-Agency Cooperation in
So. CA Cities & Counties Statewide	Public Works Mutual Aid Agreement

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HAZARD ANALYSIS SUMMARY

The City of Carlsbad recognizes that the planning process must address each hazard that threatens the City. Carlsbad is vulnerable to a wide range of threats. There are three broad categories of hazards: natural events, technological or human-made events, and national security.

The City of Carlsbad is located in the northwest portion of San Diego County, Mutual Aid Region VI, Southern Administrative Region of the State Office of Emergency Services. It has a population of 88,013 (source: State Department of Finance, January 1, 2002). The cities of Oceanside, Vista, San Marcos, and Encinitas, as well as a small unincorporated area bordering the City. Carlsbad is bordered on the west by Pacific Ocean beaches and on the east by rolling hills and chaparral mesas. Carlsbad consists of 42.2 square miles and is approximately 57% residential and 43% commercial/industrial/other uses.

Major infrastructure includes AT&SF railroad, which runs north/south along the coast, and Interstate 5 paralleling and east of the railroad, and State Route 78 running east/west along the City's northern border. There are 3 dams and their associated reservoirs located in Carlsbad, each used for storage; one for potable water storage, one for recycled water storage, and the third serving as a flood control facility.

This section of the Basic Plan is a summary of a detailed assessment of hazards, an analysis of the areas at risk, and the anticipated nature of the resulting hazard event. The complete Hazard Analysis is in Volume II – Supporting Documents – Hazard Analysis.

- An earthquake could significantly impact either segments of or the total population
- The City has industrial developments and faces the potential for hazardous materials incidents from the stationary hazardous materials users as well as transportation accidents, pipeline ruptures, and illegal dumping
- The eastern portion of the City is subject to dam failure
- Most of the City may be subject to flooding, due to flash flooding, urban flooding (storm drain failure/infrastructure breakdown), river channel overflow, downstream flooding, etc.). The City has not historically been vulnerable to storm surge inundation associated with hurricanes and tropical storms
- A transportation incident such as a major air crash or train derailment could impact areas within the City, particularly the western portion
- A terrorist event could impact the City

Any single incident or a combination of events could require evacuation and/or sheltering of the population. Depending on the event, there may be a requirement for sheltering in place or evacuating to a designated reception center or shelter within the jurisdiction or outside the jurisdiction's boundaries

The following hazards are specifically addressed in the Hazard Analysis:

- Earthquake – Tsunami, Liquefaction, Landslide
- Transportation Accident – Air, Rail, Shipping
- Hazardous Materials Incident
- Flood – Coastal & Inland
- Severe Weather – Hurricane, Tropical Storm, Tornado
- Dam Failure
- Fire – Wildland Fire, Urban
- Drought
- Energy Shortage
- Nuclear Power Plant Evacuation
- Civil Unrest
- Workplace & School Violence
- Terrorism
- National Security

Following the completion of research and analysis, data was entered into the following Hazard Analysis Matrix. The Matrix approach attempts to quantify priorities for mitigation and preparedness by assigning weighted numerical values to a range of hazard-related characteristics including:

- History
- Probability
- Maximum threat to community
- Warning time
- Vulnerability of people
- Vulnerability of property
- Vulnerability of government services

Hazard Analysis Matrix

Hazard	History	Probability	Maximum Threat	Vulnerability			Warning Time	Score	Rank
				People	Property	Services			
Earthquake – Rose Canyon Fault Zone	1	5	20	20	10	10	20	86	1
Transportation Accident									
Major Air Crash	1	5	1	20	20	10	20	77	3
Train Derailment	1	1	5	20	10	5	20	62	10
Shipping Accident (Encinas Power Plant)	1	5	1	1	1	5	20	34	18
Hazardous Materials Incident	1	5	1	20	5	10	20	62	10
Flood									
Coastal	20	10	1	5	5	5	5	51	14
Inland - Agua Hedionda Creek	1	5	5	5	1	5	5	27	20
Inland - Buena Vista Creek	1	5	5	5	1	5	5	27	20
Inland – San Marcos Creek	1	5	5	5	1	5	5	27	20
Severe Weather – Hurricane, Tropical Storm, Tornado	10	5	20	5	5	5	1	51	14
Dam Failure									
Calavera Dam	1	1	5	20	20	10	20	77	3
Maerkle Dam	1	1	5	20	20	10	20	77	3
Lake San Marcos Dam	1	1	5	20	20	10	20	77	3
Mahr Dam	1	1	5	20	20	10	20	77	3
Fire									
Wildland Fire	10	10	10	5	20	10	20	85	2
Urban	1	5	1	5	20	10	20	62	10
Drought	10	10	20	1	1	5	1	48	16
Energy Shortage	10	20	20	1	1	5	5	62	10
Nuclear Power Plant Evacuation	1	5	5	1	1	10	20	43	17
Civil Unrest	1	5	1	1	1	5	5	19	23
Workplace & School Violence	1	5	1	5	1	1	20	34	18
Terrorism	1	1	1	20	20	10	10	63	8
National Security	1	1	10	20	20	10	1	63	8

NOTES**History**

Minimal (1 point)	No activity in past 100 years
Low (5 point)	1 time in past 100 years
Middle (10 points)	2-4 times in past 100 years
High (20 points)	More than four times in past 100 years

Probability – Chances Per Year of a Disaster

Minimal (1 point)	< 1% probability in next 100 years
Low (5 point)	1% - 10% probability, or at least one chance in next 100 years
Moderate (10 points)	10% - 100% probability, or at least one chance in next 10 years
High (20 points)	Near 100% probability in next year

Maximum Threat – Area of Community Impacted

Minimal (1 point)	<10%
Low (5 point)	10% to 25%
Moderate (10 points)	25% to 50%
High (20 points)	> 50%

Vulnerability – People

Minimal (1 point)	Injuries and/or illnesses treatable with first aid
Low (5 points)	Injuries and/or illnesses do not result in permanent disability.
Moderate (10 points)	Injuries and/or illnesses do result in permanent disability.
High (20 points)	Multiple deaths

Vulnerability – Property

Minimal (1 point)	<10% severely damaged or destroyed
Low (5 points)	>10% severely damaged or destroyed
Moderate (10 points)	>25% severely damaged or destroyed
High (20 points)	>50% severely damaged or destroyed

Vulnerability – Services

Minimal (1 point)	Isolated disruption of critical facilities and/or services for 24 hours or less.
Low (5 points)	Complete shutdown of critical facilities and services for one day to one week.
Moderate (10 points)	Complete shutdown of critical facilities for one week to 2 weeks.
High (20 points)	Complete shutdown of critical facilities for more than 2 weeks.

Warning Time

Minimal (1 point)	> 24 hours
Low (5 points)	12 to 24 hours
Moderate (10 points)	6 to 12 hours
High (20 points)	Virtually no warning